

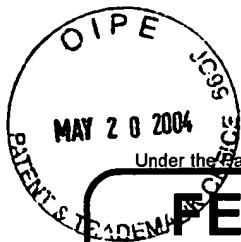
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/730,630	
	Filing Date	December 8, 2003	
	First Named Inventor	Richard E. Smalley	
	Art Unit	1754	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	17*	Attorney Docket Number	11321-P006WUD1

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
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☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 00.00

Complete if Known

Application Number 10/730,630
Filing Date December 8, 2003
First Named Inventor Richard E. Smalley
Examiner Name Not Yet Assigned
Art Unit 1754
Attorney Docket No. 11321-P006WUD1

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$) 00.00	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$) 00.00

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FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
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1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

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SUBMITTED BY

Name (Print/Type) Ross Spencer Garsson

Registration No. 38,150
(Attorney/Agent)

(Complete if applicable)

Telephone 512.370.2870

Signature

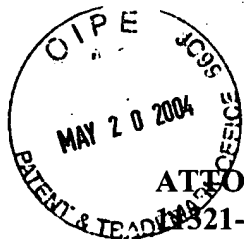
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ATTORNEY DOCKET NO.
10/730,630-1321-P006WUD1

PATENT
APPLICATION NO. 10/730,630

UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.

Group Art Unit: 1754

Serial No.: 10/730,630

Filed: December 8, 2003

Title: SINGLE-WALL CARBON NANOTUBES FROM
HIGH PRESSURE CO

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement along with attached SB/08A-B (Form 1449) and references, are being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on May 14, 2004.

GRACIE SOLIS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
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Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicant submits herewith patents, publications or other information of which it is aware, which it believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

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11321-P006WUD1

PATENT
APPLICATION NO. 10/730,630

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

Also in accordance with 37 C.F.R. § 1.98(a)(2)(i), no copies of U.S. patents and pending applications identified on the attached Form PTO-1449 are required for all U.S. patent applications filed after June 30, 2003. Therefore, only copies of foreign patent documents and non-patent literature referenced on the attached Form PTO-1449 are submitted herewith.

Applicant believes that no fee is due at this time. However, the Commissioner is hereby authorized to credit any overpayment or charge for inadvertently omitted fees to Deposit Account No. 23-2426 (11321-P006WUD1).

Respectfully submitted,

By: 

Ross Spencer Garsson
Reg. No. 38,150

Winstead Sechrest & Minick P.C.
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AUSTIN_1\250360\1
11321-P006WUD1 05/14/2004

In Place of FORM PTO-1449 (Modified)

Serial Number: 10/730,630
 Applicants: Richard E. Smalley et al.
 Filing Date: December 8, 2003
 Group: 1754
 Atty. Docket Number: 11321-P006WUD1

**LIST OF PATENTS AND PUBLICATIONS FOR
 APPLICANTS' INFORMATION DISCLOSURE
 STATEMENT**

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
____AAA	5,374,415	12/20/1994	Alig et al.	423	447.3	02/03/1993
____ABA	4,876,078	10/24/1989	Arakawa et al.	423	447.3	07/06/1987
____ACA	5,424,054	06/13/1995	Bethune et al.	423	447.2	05/21/1993
____ADA	2002/0127170 A1	09/12/2002	Hong et al.	423	447.3	04/27/2001
____AEA	5,039,504	08/13/1991	Kageyama et al.	423	448	12/10/1989
____AFA	6,221,330 B1	04/24/2001	Moy et al.	423	447.3	08/04/1997
____AGA	5,780,101	07/14/1998	Nolan et al.	427	216	02/17/1995
____AHA	5,965,267	10/12/1999	Nolan et al.	428	408	03/31/1998
____AIA	6,333,016 B1	12/25/2001	Resasco et al.	423	447.3	09/03/1999
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____AKA	5,877,110	03/02/1999	Snyder et al.	502	180	05/23/1995
____ALA	4,663,230	05/05/1987	Tennent	428	367	12/06/1984
____AMA	5,165,909	11/24/1992	Tennent et al.	423	447.3	10/01/1990
____ANA	6,235,674 B1	05/22/2001	Tennent et al.	502	174	06/05/1995

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
____AOA	WO 99/06618*	11/02/1999	PCT			X
____APA	WO 97/09272	13/03/1997	PCT			X
____AQA	WO 98/05920	12/02/1998	PCT			X
____ARA	WO 89/07163	10/08/1989	PCT			X
____ASA	WO 00/73205	07/12/2000	PCT			X
____ATA	WO 00/17102	30/03/2000	PCT			X
____AUA	GB 2 248 230 B	01/04/1992	United Kingdom			X
____AVA	JP 09188509	22/07/1997	Japan			X (Abstract)
____AWA	JP 06322615	22/11/1994	Japan			X (Abstract)

* PCT Publication of application claiming priority benefits of U.S. Patent Application Serial Number 08/910,495, which issued as U.S. Patent Number 6,221,330 B1 (Reference ACA above).

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
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____ AYA	HAFNER et al., "Catalytic growth of single-wall carbon nanotubes from metal particles," <i>Chemical Physics Letters</i> , Volume 296, pp. 195-202 (October 30, 1998).
____ AZA	DAI et al., "Single-wall nanotubes produced by metal-catalyzed disproportionation of carbon monoxide," <i>Chemical Physics Letters</i> , Volume 260, pp. 471-475 (September 27, 1996).
____ BAB	CHENG et al., "Large-scale and low-cost synthesis of single-walled carbon nanotubes by the catalytic pyrolysis of hydrocarbons," <i>Applied Physics Letters</i> , Volume 72, Number 25, pp. 3282-3284 (June 22, 1998).
____ BBB	COLOMER et al., "Synthesis of single-wall carbon nanotubes by catalytic decomposition of hydrocarbons," <i>Chemical Communications</i> , pp. 1343-1344 (1999).
____ BCB	EBBESSEN et al., "Large-scale synthesis of carbon nanotubes," <i>Nature</i> , Volume 358, pp. 220-222, (July 16, 1992).
____ BDB	EBBESSEN, "Carbon Nanotubes," <i>Annual Review of Materials Science</i> , Volume 24, pp. 235-264 (1994).
____ BEB	IJIMA, "Helical microtubules of graphitic carbon," <i>Nature</i> , Volume 354, pp. 56-58 (1991).
____ BFB	IJIMA et al., "Single-shell carbon nanotubes of 1-nm diameter," <i>Nature</i> , Volume 363, pp. 603-605 (June 17 1993).
____ BGB	BETHUNE et al., "Cobalt-catalysed growth of carbon nanotubes with single-atomic-layer walls," <i>Nature</i> , Volume 363, pp. 605-607 (June 17, 1993).
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____ BIB	ZHOU et al., "Single-walled carbon nanotubes growing radially from YC ₂ particles," <i>Applied Physics Letters</i> , Volume 65, Number 12, pp. 1593-1595 (September 19, 1994).
____ BJB	SERAPHIN, "Single-Walled Tubes and Encapsulation of Nanocrystals into Carbon Clusters," <i>Journal of Electrochemical Society</i> , Volume 142, Number 1, pp. 290-297 (January 1995).
____ BKB	SAITO et al., "Carbon Nanocapsules Encaging Metals and Carbides," <i>J. Phys. Chem. Solids</i> , Volume 54, Number 12, pp. 1849-1860 (1993).
____ BLB	SAITO et al., "Extrusion of single-wall carbon nanotubes via formation of small particles condensed near an arc evaporation source," <i>Chemical Physics Letters</i> , Volume 236, pp. 419-426 (April 21, 1995).
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____ BTB	ENDO, "Grow carbon fibers in the vapor phase," <i>Chemtech</i> , pp. 568-576 (1988).
____ BUB	TIBBETTS, "Vapor-Grown Carbon Fibers: Status and Prospects," <i>Carbon</i> , Volume 27, Number 5, pp. 745-747 (1989).
____ BVB	SEN et al., "Carbon nanotubes by the metallocene route," <i>Chemical Physics Letters</i> , Volume 267, pp. 276-280 (March 21, 1997).
____ BWB	DRESSELHAUS, "Carbon Nanotubes," <i>Journal of Materials Research</i> , Volume 13, Number 9, pp. 2355-2356 (September 1998).
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____ BYB	COLOMER et al., "Large-scale synthesis of single-wall carbon nanotubes by catalytic chemical vapor deposition (CCVD) method," <i>Chemical Physics Letters</i> , Volume 317, pp. 83-89 (January 28, 2000).
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____ CAC	KITIYANAN et al., "Controlled production of single-wall carbon nanotubes by catalytic decomposition of CO in bimetallic

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- _____ CBC CASSELL et al., "Large Scale CVD Synthesis of Single-Walled Carbon Nanotubes," *J. Phys. Chem. B.*, Volume 103, pp. 6484-6492 (1999).
- _____ CCC FLAHAUT et al., "Synthesis of single-walled carbon nanotubes using binary (Fe, Co, Ni) alloy nanoparticles prepared in situ by the reduction of oxide solid solutions," *Chemical Physics Letters*, Volume 300, pp. 236-242 (January 29, 1999).
- _____ CDC BROTONS et al., "Catalytic influence of bimetallic phases for the synthesis of single-walled carbon nanotubes," *Journal of Molecular Catalysis A: Chemical*, Volume 116, pp. 397-403 (1997).
- _____ CEC FONSECA et al., "Synthesis of single- and multi-wall carbon nanotubes over supported catalysts," *Applied Physics A*, Volume 67, pp. 11-22 (1998).
- _____ CFC YUDASAKA et al., "Specific conditions for Ni catalyzed carbon nanotube growth by chemical vapor deposition," *Applied Physics Letters*, Volume 67, Number 17, pp. 2477-2479 (October 23, 1995).
- _____ CGC HERNADI et al., "Catalytic synthesis of carbon nanotubes using zeolite support," *Zeolites*, Volume 17, pp. 416-423 (1996).
- _____ CHC CHENG et al., "Bulk morphology and diameter distribution of single-walled carbon nanotubes synthesized by catalytic decomposition of hydrocarbons," *Chemical Physics Letters*, Volume 289, pp. 602-610 (June 19, 1998).
- _____ CIC GOVINDARAJ et al., "Carbon Structures Obtained by the Disproportionation of Carbon Monoxide Over Nickel Catalysts," *Materials Research Bulletin*, Volume 33, Number 4, pp. 663-667 (1998).
- _____ CJC CHEN et al., "Growth of Carbon Nanotubes by Catalytic Decomposition of CH₄ or CO on a Ni-MgO Catalyst," *Carbon*, Volume 35, Number 10-11, pp. 1495-1501 (1997).
- _____ CKC HATTA et al., "Very long graphitic nano-tubules synthesized by plasma-decomposition of benzene," *Chemical Physics Letters*, Volume 217, Number 4, pp. 398-402 (January 21, 1994).
- _____ CLC HORNYAK et al., "Template Synthesis of Carbon Nanotubes," *NanoStructured Materials*, Volume 12, pp. 83-88 (1999).
- _____ CMC FLAHAUT et al., "Synthesis of single-walled carbon nanotube-Co-MgO composite powders and extraction of the nanotubes," *Journal of Materials Communications, Chemistry*, Volume 10, pp. 249-252 (2000).
- _____ CNC NIKOLAEV et al., "Gas-phase of catalytic growth of single-walled carbon nanotubes from carbon monoxide," *Chemical Physics Letters*, Volume 313, pp. 91-97 (November 5, 1999).
- _____ COC KIANG et al., "Carbon Nanotubes with Single-Layer Walls," *Carbon*, Volume 33, Number 7, pp. 903-914 (1995).
- _____ CPC CASSELL et al., "Combinatorial Optimization of Heterogeneous Catalysts Used in the Growth of Carbon Nanotubes," *Langmuir*, Volume 17, pp. 260-264 (2001).
- _____ CQC LI et al., "Preparation of Monodispersed Fe-Mo Nanoparticles as the Catalyst for CVD Synthesis of Carbon Nanotubes," *Chemical Materials*, Volume 13, pp. 1008-1014 (2001).
- _____ CRC TIBBETTS, "Vapor-Grown Carbon Fibers," *Carbon Fibers Filaments and Composites*, Kluwer Academic Publishers pp. 73-94 (1990).
- _____ CSC MURAYAMA et al., "A novel form of filamentous graphite," *Nature*, Volume 345, Number 6278, pp. 791-793 (June 28, 1990).
- _____ CTC TIBBETTS, "Growing Carbon Fibers with a Linearly Increasing Temperature Sweep: Experiments and Modeling," *Carbon*, Volume 30, Number 3, pp. 399-406 (1992).
- _____ CUC IJIMA, "Helical microtubules of graphitic carbon," *Nature*, Volume 354, Number 6348, pp. 56-58 (November 7, 1991).
- _____ CVC ENDO et al., "Electrical properties of Fullerene film and fiber constructs," *18th Annual Meeting of the Japanese Carbon Society*, 10 pages (December 4-6, 1991).
- _____ CWC ENDO et al., "Generation and Structure of Bucky Fibers and Application in Carbon Fiber Formation," *Transactions of the 2nd C₆₀ Symposium in Japan*, 17 pages (January 29, 1992).
- _____ CXC IJIMA et al., "Pentagons, heptagons and negative curvature in graphite microtubule growth," *Nature*, Volume 356, Number 6372, pp. 776-778 (April 30, 1992).
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- _____ CZC ENDO et al., "Vapor Phase Growth of Carbon Nanotube," *19th Meeting of Japanese Carbon Society*, 7 pages (December 2-4, 1992).
- _____ DAD ENDO et al., "Growth Mechanisms and Structure of Carbon Nanotube," *Transactions of the 4th C₆₀ Symposium in Japan*, 4 pages (January 26-27, 1993).
- _____ DBD TIBBETTS et al., "Physical Properties of Vapor-Grown Carbon Fibers," *Carbon*, Volume 31, Number 7, pp. 1039-1047 (1993).
- _____ DCD ENDO et al., "The Production and Structure of Polyolytic Carbon Nanotubes (PCNTs)," *J. Phys. Chem. Solids*, Volume 54, Number 12, pp. 1841-1848 (1993).

- _____ DDD JIAO et al., "Preparing Carbon Clusters by Catalytic Disproportionation of Carbon Monoxide," *Recent Advances in the Chemistry and Physics of Fullerenes and Related Materials, Electrochemical Society Proceedings*, Volume 95-10, pp. 667-677 (1995)
- _____ DED QIN, "CVD synthesis of carbon nanotubes," *Journal of Materials Science Letters*, Volume 16, Number 6, pp. 457-459 (March 15, 1997).
- _____ DFD SEN et al., "Metal-Filled and Hollow Carbon Nanotubes Obtained by the Decomposition of Metal-Containing Free Precursor Molecules," *Chemistry of Materials*, Volume 9, Number 10, pp. 2078-2081 (1997).
- _____ DGD TERRONES et al., "Controlled production of aligned-nanotube bundles," *Nature*, Volume 388, pp. 52-55 (July 3, 1997).
- _____ DHD BRONIKOWSKI et al., "Gas-phase production of carbon single-walled nanotubes from carbon monoxide via the HiPco process: A parametric study," *Journal of Vacuum Science & Technology A*, Second Series, Volume 19, Number 4, Part II (July/August 2001).

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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11321-P006WUD1 05/13/2004